

## **Exhibit B**

**CUSTOMER CLAIM**

Claim Number \_\_\_\_\_

Date Received \_\_\_\_\_

**BERNARD L. MADOFF INVESTMENT SECURITIES LLC**

In Liquidation

**DECEMBER 11, 2008**

**REDACTED**

(Please print or type)

Name of Customer: Richard Roth

Mailing Address: 107 Village Clubhouse Circle

City: Jupiter

State: FL

Zip: 33458

Account No.: 1-R0103

Taxpayer I.D. Number (Social Security No.): -8252

**NOTE: BEFORE COMPLETING THIS CLAIM FORM, BE SURE TO READ CAREFULLY THE ACCOMPANYING INSTRUCTION SHEET. A SEPARATE CLAIM FORM SHOULD BE FILED FOR EACH ACCOUNT AND, TO RECEIVE THE FULL PROTECTION AFFORDED UNDER SIPA, ALL CUSTOMER CLAIMS MUST BE RECEIVED BY THE TRUSTEE ON OR BEFORE March 4, 2009. CLAIMS RECEIVED AFTER THAT DATE, BUT ON OR BEFORE July 2, 2009, WILL BE SUBJECT TO DELAYED PROCESSING AND TO BEING SATISFIED ON TERMS LESS FAVORABLE TO THE CLAIMANT. PLEASE SEND YOUR CLAIM FORM BY CERTIFIED MAIL - RETURN RECEIPT REQUESTED.**

\*\*\*\*\*

**1. Claim for money balances as of December 11, 2008:**

a. The Broker owes me a Credit (Cr.) Balance of \$ 0.00

b. I owe the Broker a Debit (Dr.) Balance of \$ 0.00

c. If you wish to repay the Debit Balance,  
please insert the amount you wish to repay and  
attach a check payable to "Irving H. Picard, Esq.,  
Trustee for Bernard L. Madoff Investment Securities LLC."

If you wish to make a payment, it must be enclosed

with this claim form. \$ 0.00

d. If balance is zero, insert "None." None

2. Claim for securities as of **December 11, 2008**:

**PLEASE DO NOT CLAIM ANY SECURITIES YOU HAVE IN YOUR POSSESSION.**

	<u>YES</u>	<u>NO</u>
a. The Broker owes me securities	<u>✓</u>	
b. I owe the Broker securities		<u>✓</u>
c. If yes to either, please list below:		

		<u>Number of Shares or Face Amount of Bonds</u>	
<u>Date of Transaction (trade date)</u>	<u>Name of Security</u>	<u>The Broker Owes Me (Long)</u>	<u>I Owe the Broker (Short)</u>
<u>See Nov. 30, 2008 R0103 statements, attached hereto as Exhibit A</u>			
<u>\$7,991,766.76 (market value of securities long , per R0103-3 statement)</u>			
<u>278,850.00 (market value of securities long, per R0103-4 statement)</u>			
<u>(393,770.00) ( market value of securities short, per R0103-4 statement)</u>			
<b>Total</b>	<b><u>\$7,876,846.76</u></b>		

**Proper documentation can speed the review, allowance and satisfaction of your claim and shorten the time required to deliver your securities and cash to you. Please enclose, if possible, copies of your last account statement and purchase or sale confirmations and checks which relate to the securities or cash you claim, and any other documentation, such as correspondence, which you believe will be of assistance in processing your claim. In particular, you should provide all documentation (such as cancelled checks, receipts from the Debtor, proof of wire transfers, etc.) of your deposits of cash or securities with the Debtor from as far back as you have documentation. You should also provide all documentation or information regarding any withdrawals you have ever made or payments received from the Debtor.**

See Exhibits A and B, and documents submitted herewith.

Please explain any differences between the securities or cash claimed and the cash balance and securities positions on your last account statement. If, at any time, you complained in writing about the handling of your account to any person or entity or regulatory authority, and the complaint relates to the cash and/or securities that you are now seeking, please be sure to provide with your claim copies of the complaint and all related correspondence, as well as copies of any replies that you received.

**PLEASE CHECK THE APPROPRIATE ANSWER FOR ITEMS 3 THROUGH 9.**

**NOTE: IF "YES" IS MARKED ON ANY ITEM, PROVIDE A DETAILED EXPLANATION ON A SIGNED ATTACHMENT. IF SUFFICIENT DETAILS ARE NOT PROVIDED, THIS CLAIM FORM WILL BE RETURNED FOR YOUR COMPLETION.**

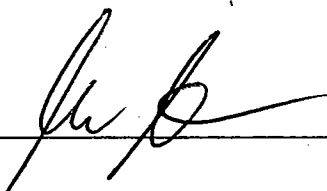
	<u>YES</u>	<u>NO</u>
3. Has there been any change in your account since December 11, 2008? If so, please explain.	_____	_____✓
4. Are you or were you a director, officer, partner, shareholder, lender to or capital contributor of the broker?	_____	_____✓
5. Are or were you a person who, directly or indirectly and through agreement or otherwise, exercised or had the power to exercise a controlling influence over the management or policies of the broker?	_____	_____✓
6. Are you related to, or do you have any business venture with, any of the persons specified in "4" above, or any employee or other person associated in any way with the broker? If so, give name(s)	_____	_____✓
7. Is this claim being filed by or on behalf of a broker or dealer or a bank? If so, provide documentation with respect to each public customer on whose behalf you are claiming.	_____	_____✓
8. Have you ever given any discretionary authority to any person to execute securities transactions with or through the broker on your behalf? Give names, addresses and phone numbers.	_____	_____✓
9. Have you or any member of your family ever filed a claim under the Securities Investor Protection Act of 1970? if so, give name of that broker.	_____	_____✓

Please list the full name and address of anyone assisting you in the preparation of this claim form: Stephanie Hatzakos, Esq.,  
Milberg LLP, One Pennsylvania Plaza, New York, NY 10119

If you cannot compute the amount of your claim, you may file an estimated claim. In that case, please indicate your claim is an estimated claim.

**IT IS A VIOLATION OF FEDERAL LAW TO FILE A FRAUDULENT CLAIM. CONVICTION CAN RESULT IN A FINE OF NOT MORE THAN \$50,000 OR IMPRISONMENT FOR NOT MORE THAN FIVE YEARS OR BOTH.**

**THE FOREGOING CLAIM IS TRUE AND ACCURATE TO THE BEST OF MY INFORMATION AND BELIEF.**

Date 5/21/09 Signature   
Date \_\_\_\_\_ Signature \_\_\_\_\_

(If ownership of the account is shared, all must sign above. Give each owner's name, address, phone number, and extent of ownership on a signed separate sheet. If other than a personal account, e.g., corporate, trustee, custodian, etc., also state your capacity and authority. Please supply the trust agreement or other proof of authority.)

**This customer claim form must be completed and mailed promptly,  
together with supporting documentation, etc. to:**

Irving H. Picard, Esq.,  
Trustee for Bernard L. Madoff Investment Securities LLC  
Claims Processing Center  
2100 McKinney Ave., Suite 800  
Dallas, TX 75201

## **Exhibit A**

Affiliated with  
Madoff Securities International Limited  
12 Berkeley Street  
Mayfair, London W1J 8DT  
Tel 020 7493 6222

885 Third Avenue  
New York, NY 10022  
(212) 230-2424  
800 384-1318  
Fax (212) 838-4061

**BERNARD L. MADOFF**  
INVESTMENT SECURITIES LLC  
New York ☐ London

★DUPLICATE★ FOR ACCOUNT NTC & CO.  
RICHARD ROTH

107 VILLAGE CLUBHOUSE CIRCLE  
JUPITER FL 33458

YOUR ACCOUNT NUMBER  
**1-R0103-3-0**

PENDING  
**11/30/08**

PAGE  
**1**

YOUR ACCOUNT IDENTIFICATION NUMBER  
\*\*\*\*\*6253

BOUGHT RECEIVED	SOLD DELIVERED	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
			BALANCE FORWARD		478,214.82	
7,098		195	WELLS FARGO & CO NEW	29,800	211,803.40	
5,070		697	HEWLETT PACKARD CO	34,900	177,145.00	
4,394		4521	WAL-MART STORES INC	55,830	245,492.02	
2,873		5023	INTERNATIONAL BUSINESS MACHS	87,270	250,840.71	
10,647		8847	EXXON MOBILE CORP	72,880	776,378.36	
11,661		9349	INTEL CORP	14,510	169,667.11	
5,577		13675	JOHNSON & JOHNSON	59,580	332,500.66	
7,605		18000	J.P. MORGAN CHASE & CO	38,530	293,324.65	
4,056		22326	COCA COLA CO	44,660	181,302.96	
2,366		26652	MCDONALDS CORP	55,370	131,099.42	
4,394		30978	MERCK & CO	28,550	125,623.70	
16,055		35304	MICROSOFT CORP	21,810	350,801.55	
8,112		39630	ORACLE CORPORATION	17,300	140,661.60	
3,211		52608	PEPSICO INC	56,410	181,260.51	
1,859		53110	APPLE INC	100,780	187,424.02	
13,689		56934	PFIZER INC	16,940	232,438.66	
3,211		57436	ABBOTT LABORATORIES	54,610	175,480.71	
6,084		61260	PROCTER & GAMBLE CO	64,080	390,105.72	
2,197		61762	AMGEN INC	59,160	130,061.52	
4,225		65586	PHILLIP MORRIS INTERNATIONAL	43,600	184,379.00	
10,140		66088	BANK OF AMERICA	21,590	219,327.60	
3,380		69212	QUALCOMM INC	33,770	114,277.60	
10,985		70414	CITI GROUP INC	12,510	137,861.35	
			CONTINUED ON PAGE 2			



**BERNARD L. MADOFF**  
INVESTMENT SECURITIES LLC  
New York London

\*DUPLICATE\*\* FOR ACCOUNT NTC & CO.  
RICHARD ROTH

107 VILLAGE CLUBHOUSE CIRCLE  
JUPITER FL 33458

885 Third Avenue  
New York, NY 10022  
(212) 230-2224  
800 334-1343  
Fax (212) 838-4061

Affiliated with  
Madoff Securities International Limited  
12 Berkeley Street  
Mayfair, London W1J 8DT  
Tel: 020 7493 6222

PERIOD ENDING  
11/30/08

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YOUR ACCOUNT NUMBER  
1-R0103-3-0

YOUR TAXPAYER IDENTIFICATION NUMBER  
\*\*\*\*\*6253

BOUGHT RECEIVED	SOLD DELIVERED	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
2 2,535		74238	SCHLUMBERGER LTD	49.480	125,532.80	
2 6,084		74740	COMCAST CORP	16.510	100,689.84	
2 11,999		78564	CL A	27	324,452.00	
2 3,042		79066	WATF INC	52.510	159,856.42	
2 2,028		82890	CONDOPHTIPS	52.040	105,618.12	
2 12,337		83392	UNITED PARCEL SVC INC			
2 3,549		87216	CLASS B	16.730	206,891.01	
2 4,225		87718	CISSCO SYSTEMS INC	29.530	104,942.97	
2 2,028		91542	U S BANCORP	73.430	310,410.75	
2 21,463		92044	CHEVRON CORP	53.160	107,889.48	
2 5,746		95868	UNITED TECHNOLOGIES CORP	19.630	422,176.69	
2 507		96370	GENERAL ELECTRIC CO	30.410	174,964.86	
	50,000	20118	VERIZON COMMUNICATIONS	337.400	171,031.80	49,971.00
			GOOGLE	99.942		
			U S TREASURY BILL			
			DUE 12/18/2008			
	7,675,000	22805	U S TREASURY BILL	99.936		7,670,098.00
			DUE 2/12/2009			
			2/12/2009			
			FIDELITY SPARTAN			
			U S TREASURY MONEY MARKET	DIV		2.19
			DIV 11/12/08			
	7,192	17905	FIDELITY SPARTAN			7,192.00
			U S TREASURY MONEY MARKET			
			CONTINUED ON PAGE 3			



**BERNARD L. MADOFF**  
INVESTMENT SECURITIES LLC  
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RICHARD ROTH

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BOUGHT RECEIVED	SOLD DELIVERED	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
2 39,350		27274	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	39,350.00	
9			FIDELITY SPARTAN U S TREASURY MONEY MARKET	DIV		4.83
9	39,350	52741	FIDELITY SPARTAN DIV 11/19/08	1		39,350.00
9 525,000		57282	U S TREASURY MONEY MARKET U S TREASURY BTL DUE 03/26/2009	99.926	524,611.50	
9 21,068		61779	FIDELITY SPARTAN U S TREASURY MONEY MARKET	1	21,068.00	
			NEW BALANCE		950,400.87	
11,999			SECURITY POSITIONS	MKT PRICE		
3,211			AT&T INC	28.560		
2,197			ABBOTT LABORATORIES	52.390		
1,859			AMGEN INC	55.540		
10,140			APPLE INC	92.670		
4,225			BANK OF AMERICA	16.250		
12,337			CHEVRON CORP	79.010		
10,985			CISCO SYSTEMS INC	16.540		
4,056			CITIC GROUP INC	18.290		
			COCA COLA CO	46.870		
			CONTINUED ON PAGE 6			

885 Third Avenue  
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800-334-1543  
Fax (212) 838-4061

**BERNARD L. MADOFF**  
INVESTMENT SECURITIES, INC.  
New York ☐ London  
\*MULTIPLICATED\* FOR ACCOUNT NO. 200

A close-up photograph of a rectangular stamp. The stamp contains the words "MADE IN" in a bold, sans-serif font, arranged vertically. The stamp is set within a double-lined rectangular border. The background is a heavily textured, grainy surface, possibly a piece of paper or fabric, with some faint, illegible markings visible around the stamp.

1-20103-3-0  
 YOUR ACCOUNT NUMBER  
 11/30/06  
 YOUR ACCOUNT NUMBER  
 \*\*\*\*\*6253  
 YOUR IDENTIFICATION NUMBER  
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E	BOUGHT RECEIVED	SOLD DELIVERED	TIN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	6,084			COMCAST CORP	17.340		
				CL A			
	3,042			CONGOCORPHILIPS	52.520		
	10,647			EXXON MOBIL CORP	80.150		
	21,463			GENERAL ELECTRIC CO	17.170		
	507			GOOGLE	292.960		
	5,070			HEWLETT PACKARD CO	35.280		
	11,661			INTEL CORP	13.800		
	2,873			INTERNATIONAL BUSINESS MACHS	81.600		
	7,605			J.P. MORGAN CHASE & CO	31.660		
	5,577			JOHNSON & JOHNSON	58.580		
	2,366			MCDONALDS CORP	58.750		
	4,394			MERCK & CO	26.720		
	16,055			MICROSOFT CORP	20.220		
	8,112			ORACLE CORPORATION	16.090		
	3,211			PEPSICO INC	56.700		
	13,689			PFIZER INC	16.430		
	4,225			PHILLIP MORRIS INTERNATIONAL	42.160		
	6,084			PROCTER & GAMBLE CO	64.350		
	3,380			QUALCOMM INC	33.570		
	2,535			SCHLUMBERGER LTD	50.740		
	21,068			FIDELITY SPARTAN	1		
				U.S. TREASURY MONEY MARKET			
	3,549			U.S. BANK CORP	26.980		
	2,028			UNITED PARCEL SVC INC	57.600		
				CLASS B			
				CONTINUED ON PAGE 15			



Affiliated with  
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**BERNARD L. MADOFF**  
INVESTMENT SECURITIES LLC  
New York, NY London

\*\*DUPLICATE\*\* FOR ACCOUNT NTC & CO.  
RICHARD ROTH

107 VILLAGE CLUBHOUSE CIRCLE  
JUPITER FL 33458

PERIOD ENDING  
11/30/08

YOUR ACCOUNT NUMBER  
1-R0103-3-0

YOUR STATE IDENTIFICATION NUMBER  
\*\*\*\*\*6253

DATE	BOUGHT RECEIVED	SOLD DELIVERED	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
	525,000			U S TREASURY BILL DUE 03/26/2009	99.971		
	2,028			3/26/2009 UNITED TECHNOLOGIES CORP	48.530		
	5,746			VERIZON COMMUNICATIONS	32.650		
	4,394			WAL-MART STORES INC	55.880		
	7,098			WELLS FARGO & CO NEW	28.890		
				MARKET VALUE OF SECURITIES			
				LONG 7,991,766.76			
				SHORT			

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**BERNARD L. MADOFF**  
INVESTMENT SECURITIES LLC  
New York ☐ London

\*\*DUPLICATE\*\* FOR ACCOUNT NTC & CO.  
 RICHARD ROTH

107 VILLAGE CLUBHOUSE CIRCLE  
JUPITER FL 33458

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YOUR ACCOUNT NUMBER  
1-80103-3-0

YOUR PAYEE IDENTIFICATION NUMBER  
\*\*\*\*\*6253

BOUGHT RECEIVED	SOLD DELIVERED	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
			YEAR-TO-DATE SUMMARY			
			DIVIDENDS			54,011.12
			GROSS PROCEEDS FROM SALES			45,586,824.34



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12 Berkeley Street  
Mayfair, London W1J 8DT  
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885 Third Avenue  
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800 334 1243  
Fax: (212) 333 4061

**BERNARD L. MADOFF**  
INVESTMENT SECURITIES LLC  
New York London

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107 VILLAGE CLUBHOUSE CIRCLE  
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PERIOD ENDING  
11/30/08

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\*\*\*\*\*6253

YOUR ACCOUNT NUMBER  
1-R0103-4-0

	BOUGHT REBATES	SOLD DELIVERED	TRN	DESCRIPTION	PRICE OR SYMBOL	AMOUNT DEBITED TO YOUR ACCOUNT	AMOUNT CREDITED TO YOUR ACCOUNT
				BALANCE FORWARD			478,215.00
12		169	42956	S & P 100 INDEX	15.800		266,851.00
12	169		48282	NOVEMBER 460 CALL	17.800	300,989.00	
19		169	34386	S & P 100 INDEX	26		439,231.00
19	169		38711	DECEMBER 430 CALL	30	507,169.00	
19	169		43036	S & P 100 INDEX	3	50,869.00	
19		169	47361	NOVEMBER 450 PUT	37		625,131.00
				NEW BALANCE			950,401.00
				SECURITY POSITIONS			
		169		S & P 100 INDEX	MKT PRICE 23.300		
	169			DECEMBER 430 CALL			
				S & P 100 INDEX	16.500		
				DECEMBER 420 PUT			
				MARKET VALUE OF SECURITIES			
				LONG			278,850.00
				SHORT			393,770.00

## **Exhibit B**

**EXHIBIT B**

1. This Claim Form, exhibits, and supporting documentation (collectively "Claim Form") is submitted pursuant to the December 23, 2008 Order of the Honorable Burton R. Lifland and the instructions disseminated by Irving H. Picard, Trustee for Bernard L. Madoff Investment Securities LLC ("Trustee"), on December 11, 2008.
2. The information provided in the Claim Form is based on the information provided in the Claimant's latest Madoff account statement and any additional information known by the Claimant as of the date of the submission of the Claim Form. The Claimant reserves the right to amend and/or supplement this Claim Form upon the receipt of further information, or upon request by the Trustee for additional information.
3. The Claimant reserves the right to amend the Claim Form in the event of any recoveries by the Trustee or any other party under the avoidance powers of the Bankruptcy Code or otherwise, or in the event of rejections of executory contracts pursuant to Bankruptcy Code Section 365, whether such amendments are made pursuant to Bankruptcy Code Sections 105, 502(g), or 502(h), Bankruptcy Rule 3002(c)(3), (4), other provisions of applicable bankruptcy law, or general principles of law and equity.
4. The Claimant hereby requests that the Claim Form be considered as a proof of claim in *In re Bernard L. Madoff Investment Securities LLC*, No. 08-01789 (Bankr. S.D.N.Y.).
5. This Claim Form is required to be submitted pursuant to the Court's January 2, 2009 Order and the Trustee's instructions to the Claimant. To the extent permitted by the applicable law, the Claimant does not consent to the jurisdiction of the Bankruptcy Court nor does Claimant waive any right to trial by jury.
6. The Claimant reserves all rights, claims, and/or defenses as to and/or against any and all parties potentially liable for the losses sustained by the Claimant, including, without limitation, Bernard L. Madoff Investment Securities LLC and its owners, partners, employees, and affiliates, as well as any potentially liable third parties including, without limitation, investment advisors, "feeder funds," accountants, and auditors.
7. The Claimant further reserves all rights, claims, and/or defenses as to and/or against any persons and/or creditors asserting claims against Bernard L. Madoff Investment Securities LLC, its employees, owners, and/or affiliates, in bankruptcy or otherwise.
8. The Claimant reserves all objections as to the competence, relevance, materiality, privilege, or admissibility of evidence in any subsequent proceeding or trial of this or any other action for any purpose whatsoever, notwithstanding the submission of any such information to the Trustee.
9. To the extent the Claimant has disclosed to the Trustee documents containing accounting and/or legal advice, the Claimant does not waive any potential privileges applicable thereto.

Claimant: *Richard Roth*



10. The Claimant reserves all rights with respect to submitting information to the Internal Revenue Service regarding gains, losses, and/or theft of assets.
11. The Claim Form and supporting documents contain confidential information. The Claimant submits this information to the Trustee subject to the condition that this information will not be disclosed to any third parties, other than under seal to the Court, absent the Claimant's express consent or Court order.
12. During the lifetime of the account, the Claimant may have contributed and/or withdrawn sums of money. The Claimant's final account balance set forth in Exhibit A takes into account any such contributions and/or withdrawals. Claimant continues to search for additional documents relating to such contributions or withdrawals and reserves the right to supplement this submission if additional documents are found.
13. The Claimant submits herewith documents in support of the Claimant's claim. The Claimant reserves any arguments that such documents are not relevant to the Trustee's inquiry. The Claimant further reserves the right to supplement this submission, including the submission of additional documents if deemed necessary. Below is a list of the documents submitted herewith:

**2008**

- BMIS account statements for time period ending 11/30/08.